

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of:

Robert MAERZ et al.

Serial No. [not yet assigned]

Filed: 16 July 2003

For: METHOD AND SYSTEM FOR OFFERING SECURITIES BASED IN  
ENTERTAINMENT CONCEPTS

**INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. § 1.56(b)**

Commissioner for Patents  
Alexandria, VA 22313

Sir:

In order to comply with Applicants' duty of disclosure pursuant to 37 C.F.R. §1.56, submitted herewith on Form PTO/SB/08A is a listing of documents known to Applicants. The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application or is considered to be material to patentability as defined in 37 C.F.R. § 1.56(b). Applicants do not waive any rights to take any action, which would be appropriate to antedate or otherwise remove as a competent reference any document, which is determined to be a *prima facie* prior art reference against the claims of the present application.

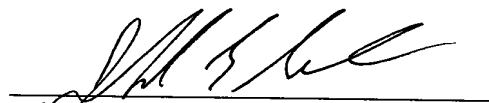
Applicants respectfully request that the listed documents be considered by the Examiner and be made of record in the present application and that an initialed copy of Form PTO/SB/08A be returned in accordance with M.P.E.P. § 609.

As provided in 37 C.F.R. § 1.98(d), copies of the documents are not being provided as they were previously cited by or submitted to the Patent Office in parent application Serial No. 09/813,808 filed 22 March 2001.

This statement is being filed concurrently with the filing of the application. Accordingly, no fee is required in connection with this filing. Nonetheless, the Commissioner is hereby authorized to charge any deficiency or credit any overpayment to Deposit Account No. 50-1067.

Respectfully submitted,

Date: 16 July 2003

  
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Jeff E. Schwartz  
Reg. No. 39,019

Preston Gates Ellis & Rouvelas Meeds LLP  
1735 New York Avenue, NW, Suite 500  
Washington, DC 20006  
Telephone 202.628.1700  
Facsimile 202.331.1024

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Substitute for form 1449A/PTO  <h1>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</h1>  <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	[not yet assigned]
				Filing Date	16 July 2003
				First Named Inventor	Robert MAERZ
				Art Unit	[not yet assigned]
				Examiner Name	[not yet assigned]
				Attorney Docket Number	48836-00002
Sheet	1	of	1		

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
	A1	4,566,066	01/21/1986	TOWERS	
	A2	5,806,047	09/08/1998	HACKEL et al.	
	A3	6,021,397	02/01/2000	JONES et al.	
	A4	6,088,685	07/11/2000	KIRON et al.	

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	r <sup>6</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See attached Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the application number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

[illegible]

Examiner Signature		Date Considered	
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**\*EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.  
Applicant's unique citation designation number (optional). \*Applicant is to place a check mark here if English language Translation is attached.